

APA Performance Audit Report, as of 12/15/04

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1	COVA IT Strategic Plan	ITIB & CIO must establish a long-term COVA IT strategic vision, update COVA's IT strategic plan & consider business strategies coming from other organizations.	10/05 3/06 4/06	ITIB/Stewart Simonoff/Lubic	Underway	1/06	<p>"Completed the stakeholder workshops (total of 16) with business & IT leaders & held conference calls & work sessions w/legislators & leg. staff. The results of these workshops, conference calls & work sessions have been presented & discussed with the ITIB at the COV Strategic IT Planning Retreat held Jan 11-12 at which time a Strategic Plan for IT was drafted."</p> <p>3/06 "Subsequent to the Retreat, during Jan., Feb. & March, the Strategic Planning Workgroup, a subset of the retreat participants met weekly to adjust & refine the draft for additional input before the plan is finalized & submitted for approval to the ITIB at its April meeting. Provided an update to the ITIB-SPARC regarding the status of the draft Plan on 02/09; at their request, a "working" copy of the draft plan was sent on 3/01. Sent the final draft to the ITIB on 03/23 for their review prior to the 4/06 meeting."</p>
2	Project oversight, monitoring & assistance	Due to lack of staff, PMD is not fulfilling statutory responsibility in the area of project oversight, monitoring, & assistance.	6/05 6/06	Simonoff & Ziomek	Completed Re-Opened 12/05	1/06	<p>"PMD staffing for 'project oversight, monitoring & assistance' is being evaluated as part of the overall reorg. of VITA (now underway in conjunction with implementation of the NG (PPEA) contract) & JLARC approval of the ITIM Service Fee & related funding, which will ultimately fund sustained PMD oversight activities. Funding & MEL have been identified to allow PMD to hire additional staff. The hiring process has been initiated but it is anticipated that filling of the vacant positions will not occur before April. PMD expects new hires to require some training & preparation before they are fully effective in 'project oversight, monitoring & assistance.' "</p> <p>3/06 "The PMD hiring process is underway, with the selection of new hires anticipated in April. A training plan for new hires is in development. Because higher education oversight legislation, now pending, may result in decreased Division</p>

APA Performance Audit Report, as of 12/15/04

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
							work load & corresponding revenue, PMD is adopting a cautious strategy of hiring 3-4 personnel to fill 6 current vacancies.
							In Jan. 2006, a regular monthly program review process was initiated in PMD. Intended to bring more focus to the project oversight process, PMD staff conduct a collaborative, intensive review by Secretariat, Agency, and project of each project under oversight. The PMD project management specialist presents project progress, issues, and lessons learned for discussion and guidance. The PMD developed Program Planning Tool provides staff with reporting capabilities that facilitate the program review process and improve oversight."
6	Project proposal template enhancements	PMD should enhance guidance & instructions to assist agencies in the financial & cost basis	11/05 1/06 2/06 4/06	Simonoff & Ziomek	Underway	1/06	"The CBA Appendix to the PM Guideline has been approved & is available online as Appendix D to the PM Guideline. The associated CBA Template & tool are complete & the most current version is available on the VITA Website (PM Page). The revision to the PM Standard has been completed & reinforces the requirement to use the CBA Template. The Standard has been posted for agency comment (for 30 days) & will be submitted for approval by the CIO & ITIB on or about February 23. Publication of the Standard is now scheduled for February."
						3/06	"The remaining task of publishing the revised PM Standard is nearing completion. The ORCA review period for the revised Standard was extended, at the request of Higher Education, until 3/10. PMD received 31 comments & proposed revisions from agencies during the ORCA review period, resulting in 8 additional changes to the Standard that will be recommended for CIO and ITIB approval. Due to the extended ORCA review period, PMD now anticipates receiving CIO approval by 3/31 & Board approval by 4/12."

APA Performance Audit Report, as of 12/15/04

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
13	Security audit program development	Develop a risk management program. Develop the Security Audit Program	6/05 12/05 6/06	Deason	Underway	1/06	"Enterprise IT Security Standard publication date has been extended to allow for additional review & comments from Internal Audit, APA & Higher Ed CIO Council. Availability of planned add'l resources will be impacted by any delay in implementing the approved security rates & related funding. Full staff implementation is contingent upon such rate implementation & funding." 3/06 "Progress is being made towards a June 30, 2006 implementation date for the Enterprise IT Security Standard."
14	Staffing database security audits	Use Customer Service employees to assist in database security audits VITA Note: The Draft Auditing Std places audit Staffing responsibility with the agencies."	6/06	Deason	Underway	1/06	"Enterprise IT Security Standard publication date has been extended to allow for additional review & comments from Internal Audit, APA & Higher Ed CIO Council. Once finalized, the Auditing Std. will be implemented which places responsibility for conducting audits with the agencies." 3/06 "Progress is being made towards a June 30, 2006 issuance date for the Enterprise IT Security Standard & the Auditing Standard. The agencies will have responsibility for conducting these audits once this is implemented."

Corrective Action Plans Status as of 3/06

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
1.A	Develop Policies, Procedures & Stds for Infrastructure	Document policies, procedures, & standards for routers & firewalls at the data center.	1/06	Deason	Complete (Stds)	1/06	"Baseline security configuration standards documents for routers & firewalls were developed & submitted to Customer Services for implementation. Based on feedback, revisions have been made to the stds."
			3/06 7/06	Carter	Underway (Procedures)	1/06	"Documenting the processes & config./implementation procedures for the production network infrastructure environment (routers, switches, firewalls) that may require exceptions &/or refinements to the standards."
						3/06	"VITA task to develop configuration processes and procedures for the production network infrastructure environment (routers, switches, firewalls) is in progress. Projected completion date adjusted."
1.B	Develop Policies, Procedures & Stds for Infrastructure	Document & implement policies, procedures, & standards for common infrastructure elements & approve any exceptions in writing.	1/06	Deason	Complete	1/06	"Configuration Standard Exception Policy & form have been developed, provided to customer services & placed on the Intranet & Extranet."
			4/06 7/06	Saneda	Underway	1/06	"Customer Service staff are reviewing the revised stds. & expect to present them to the next COIN in Feb."
						3/06	"Customer Service staff will run a pilot during April to ensure the tools available from the Center for Internet Security can be reasonably executed throughout Regional Operations. This toolset was successfully tested & used by Central Operations for datacenter Unix & Windows platforms."
2.A	Update MOA's & Maintain Documentation for Exceptions to Server Policies	Update all server farm Customer Service Plans to reflect current security responsibilities & policies, procedures, and standards.	4/06 3/06 6/06	Carter	Underway	1/06	"VITA ESD's are working with agencies to revise MOU & service profiles to reflect changes suggested by the agencies & VITA. The MOUs are now expected to be signed by the end of the first quarter."
						3/06	"Roles & Responsibilities for DSS & TAX have been updated per the Service Profiles matrix. These documents were part of the MOU which DSS

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
							& TAX have signed. A Service Profile has been submitted by VEC, but MOU signing is still outstanding. As a follow-up, a revised Roles & Responsibilities matrix has been created that focuses on Information Security, Physical Security & Audit. This revised matrix will be distributed to all agencies as an amendment to the MOU. The revised matrix was submitted to APA on 3/20."
2.B	Update MOA's and Maintain Documentation for Exceptions to Server Policies	Fully document the requests & approval of exceptions to agreed-upon policies, procedures & standards.	1/06 3/06	Deason	Complete	1/06	"Exception process for documenting requests & approval of exceptions to agreed upon policies, procedures & standard needs to be finalized. The target date for this objective is being revised to coincide with the implementation of the MOA " templates as an objective stated in 2.A above."
						3/06	"A draft of the Exception process for documenting requests & approval of exceptions to agreed upon policies, procedures & standard has been finalized."
			4/06	Saneda	Underway	1/06	"Security has adopted the Center for Internet Security (CIS) baseline standards for server security & has revised the posted platform standards to reflect this change. VITA Customer Services' UNIX Branch engineers have executed the CIS scan tool on the DSS & TAX servers. Exception forms were generated & provided to DSS & TAX Security Officers to complete the requests for exceptions for VITA Security approval.
						3/06	"VITA Customer Services' UNIX Branch engineers continue to work with TAX & DSS Security Officers to document requests for exceptions per the results of the CIS scans. VITA Customer Services' Windows Branch has completed the assessment of the CIS tool & run the tool against the VEC & TAX Windows servers. The results are being prepared to begin sharing

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
							with the respective customers. VITA must rely on the customer business owners, security & application support staffs to assess the results."
3.	Improve Policies & Procedures over Change Management	Modify existing VITA Central change mngmt policies & procedures to include documented & approved rollback plan, procedures for testing changes, & procedures for the review of completed high risk changes.	12/05 2/06	Carter	Underway Complete	1/06	"Application code changes for 3.B were implemented on 12/4. Application code changes for 3.C were implemented on 1/29. The revised Change Mngmt procedure covering items 3.A, 3.B & 3.C was submitted to PPRAT & are pending review on 2/3/06.
			3/06	Carter	Underway Complete	1/06	3/06 "3.A , 3.B, & 3.C Revised procedures have been approved & posted on 3/10/06 to VITA Extranet & Intranet sites covering Change Management" "Item 3.D was substantially completed on 1/30 via the definition of changes that had to be tested prior to production implementation being added to the VITA Change Management procedure. This revised version was sent to PPRAT & is pending review on 2/3. Also distributed a copy of the revised change management procedure to VITA Central Change Mngmt participants on 1/30 stating that even though the procedure had not yet been posted to VITAWEB, that it was in effect."
			3/06	Carter	Underway Complete	1/06	3/06 "Revised Change Management procedures were approved & were posted on 3/10/06 to VITA Extranet & Intranet." "Item 3.E was substantially completed on 1/30 via definition of high risk changes & the process required of conducting a pre & post implementation review in wkly Change Management meetings, being added to the VITA Change Management procedure. This revised version was sent to PPRAT & is pending review on 2/3. We also distributed a copy of the revised procedure to all VITA Central Change Management participants on 1/30 stating that even though the procedure had not yet been posted to VITAWEB, that it was in effect."

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
						3/06	"Revised Change Management procedures were approved & have posted 3/10/06 to VITA Extranet & Intranet."
4.	Update Business Impact Analysis, Risk Assessment & Disaster Recovery Plan Complete	Update risk assessment, business impact analysis & disaster recovery plan to include executive infrastructure as quickly as possible.	11/05	Deason		10/05	4.A. "Expand the VITA Disaster Recovery (DR) plan to include operations at Customer Agency locations by: 4.A.1. Obtaining COOP/DR Plans from Customer Agencies.
					Complete	11/05	Security Services has obtained the COOP/DR.
			11/05	Deason	Complete	11/05	4.A.2. Developing a DR Assessment template. "DR Assessment Template developed."
			12/05	Saneda Deason			4.A.3. Beginning an assessment of Customer Agencies DR Plans using the DR Assessment template."
					Complete	11/05	"Security Services & Customer Services decided that Security Services will assess Agency DR plans ensuring appropriate VITA staff have access to agency DR plans & understand VITA responsibilities. Security Services has begun the assessments."
			7/06	Deason/Saneda			4.A.4. "Revising VITA DR Plan to include operations at Customer agency locations."
					Underway	1/06	"Security Services has completed their review of customer DR Plans. Assessments have been turned over to customer services for updating to VITA's DR Plan. Operations has assigned 3 resources in Computer Operations to develop DR plans & test plans for remote locations based on current agency COOP plans and the VITA regionalization support model. Plans will be by region and first region (Tidewater) is scheduled to be complete by Sept 2006."
						3/06	"Fingerprint Criminal Background History Checks

APA Security Audit Report, Issued 9/05

APA Ref	Short Title	Summary	Due Date	Responsible Person(s)	Status	Status Date	Task / Comments
							have been completed for 26 of the 35 key VITA employees who will have access to customer DR plans. Customer DR Plans will be made available to these key VITA staff that are located both Centrally and Regionally. The VITA DR plan is being updated to include Customer DR Plans received by Security Services."
			12/06	Deason	Underway	10/05	4.B "Complete Customer Agency security assessments.
						1/06	"Schedule to complete Security Assessments for the remaining customer agencies is complete. This schedule may be revised based on availability of customer agencies."
						3/06	"Customer Agency security assessments are to be completed by December, 2006."
			1/07	Deason	Underway	10/05	4.C "Using the security assessment results & customer agency input, begin updating the VITA BIA, RA & DR."
						1/06	"46 assessments are have been completed by Security. Customer Services has identified a team to begin updating individual agency DR plans so that the plan is actionable and complete."
						3/06	"Customer Services team is reviewing individual agency DR plans, so the overall VITA DR plan will be actionable & complete."